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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/599,812
		Filing Date	Jun 21, 2000
		First Named Inventor	Murray
		Group Art Unit	2124
		Examiner Name	NAHAR, QAMRUN
Total Number of Pages in This Submission		Attorney Docket Number	MS1-586US

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) Sheets <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form 1449 (3 pages) & Copies of 35 Cited References Return Receipt Postcard
Remarks		
Customer Number 22801		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

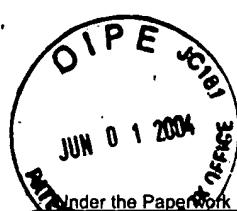
Firm or Individual name	Steven J. Spellman; 45,124
Signature	
Date	5-28-04

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: May 28, 2004

Typed or printed name	Hope A. Charles		
Signature		Date	5/28/2004

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00)

## Complete If Known

Application Number	09/599,812
Filing Date	Jun 21, 2000
First Named Inventor	Murray
Examiner Name	NAHAR, QAMRUN
Art Unit	2124
Attorney Docket No.	MS1-586US

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money Order  Other  None

 Deposit Account:

Deposit Account Number	12-0769
Deposit Account Name	Lee & Hayes, PLLC

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
<b>SUBTOTAL (1)</b>		(\$ 0.00)	

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	-20** =	X	= 0
Claims	- 3** =	X	= 0
Multiple Dependent			

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		(\$ 0.00)

\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00)

## SUBMITTED BY

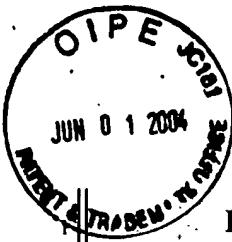
(Complete if applicable)

Name (Print/Type)	Steven J. Spellman	Registration No. (Attorney/Agent)	45,124	Telephone	(509) 324-9256
Signature				Date	5-26-04

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2 Application Serial No..... 09/599,812  
Filing Date ..... Jun 21, 2000  
3 Confirmation No. ..... 7148  
Inventorship ..... Murray et al.  
4 Applicant ..... Microsoft Corporation  
Group Art Unit ..... 2124  
5 Examiner ..... Nahar, Qamrun  
Attorney's Docket No. ..... MS1-586US  
6 Title: Architectures for and Methods of Providing Network-based Software Extensions

7 **INFORMATION DISCLOSURE STATEMENT**

8 **References – See Attached Form PTO-1449**

9 To: Commissioner for Patents  
10 PO Box 1450  
11 Alexandria, VA 22313-1450  
12 From: Steven J. Spellman (Tel. 509-324-9256; Fax 509-323-8979)  
13 Lee & Hayes, PLLC  
14 421 W. Riverside Avenue, Suite 500  
15 Spokane, WA 99201

16 With regard to the above-identified application, the documents listed on the  
17 enclosed Form 1449 are brought to the attention of the Examiner. A copy of each  
18 document listed on the enclosed Form 1449 is provided. Consideration of the listed  
19 documents is respectfully requested. Additionally, it is requested that the  
20 Examiner return a copy of the attached Form 1449, marked as being considered  
21 and initialed by the Examiner, to the undersigned with the next official  
22 communication.

23 No representation is made that any of the documents listed in the enclosed  
24 Form 1449 constitute prior art or are in any way material to the subject matter of  
25 the above-identified application

26 06/03/2004 DEHHARUI 00000140 120769 09599812  
27 01 FC:1806 180.00 DA

1  
2 The Commissioner is hereby authorized to charge payment of fees or credit  
3 overpayments to Deposit Account No. 12-0769 as set forth in 37 CFR §1.17(p).  
4

5 Dated: 5-28-04

6 By: 

7 Steven J. Spellman  
8 Reg. No. 45,124  
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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/599,812
				Filing Date	Jun 21, 2000
				First Named Inventor	Murray
				Group Art Unit	2124
				Examiner Name	NAHAR, QAMRUN
Sheet	1	of	3	Attorney Docket Number	
MS1-586US					

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	6,081,610			Dwork et al.	06/27/2000	
	6,094,657			Hailpern et al.	07/25/2000	
	6,108,783			Krawczyk et al.	08/22/2000	
	6,167,521			Smith et al.	12/26/2000	
	6,253,374			Dresevic et al.	06/26/2001	
	6,263,313			Milsted et al.	07/17/2001	
	6,275,599			Adler et al.	08/14/2001	
	6,292,897			Gennaro et al.	09/18/2001	
	6,311,271			Gennaro et al.	10/30/2001	
	6,321,334			Jerger et al.	11/20/2001	
	6,345,256			Milsted et al.	02/05/2002	
	6,345,361			Jerger et al.	02/05/2002	
	6,366,912			Wallent et al.	04/02/2002	
	6,473,800			Jerger et al.	10/29/2002	
	6,505,300			Chan et al.	01/07/2003	
	6,546,546			Van Doorn	04/08/2003	
	6,609,200			Anderson et al.	08/19/2003	
	6,643,684			Malkin et al.	11/04/2003	
	6,691,230			Bardon	02/10/2004	
	6,697,944			Jones et al.	02/24/2004	

## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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Substitute for form 1449A/PTO				<i>Complete if Known</i>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				Application Number	09/599,812
				Filing Date	Jun 21, 2000
				First Named Inventor	Murray
				Group Art Unit	2124
				Examiner Name	NAHAR, QAMRUN
Sheet	2	of	3	Attorney Docket Number	MS1-586US

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

3 of 3

### Complete if Known

Application Number	09/599,812
Filing Date	Jun 21, 2000
First Named Inventor	Murray
Group Art Unit	2124
Examiner Name	NAHAR, QAMRUN
Attorney Docket Number	MS1-586US

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		Description of Whitehill Composer software product produced by Whitehill Technologies Inc. available at < <a href="http://www.xml.com/pub/p/221">http://www.xml.com/pub/p/221</a> > accessed on April 8 2004, 2 pages.
		HWANG et al.; "Micro-Firewalls for Dynamic Network Security with Distributed Intrusion Detection"; IEEE International Symposium on Network Computing and Applications; 2001; pp. 68-79.
		KAIYA et al.; "Specifying Runtime Environments and Functionalities of Downloadable Components Under the Sandbox Mode"; International Symposium on Principles of Software Evolution; 2000; pp. 138-142.
		KOMATSU N. et al.; "A proposal on digital watermark in document image communication and its application to realizing a signature" Electronics and Communications in Japan Part 1 (Communications) vol. 73 no. 5 pp. 22-33.
		PREVELAKIS et al.; "Sandboxing Applications"; Proceedings of the FREENIX Track; 2001; pp. 119-126.
		SCHMID et al.; "Protection Data from Malicious Software"; 18th Annual Computer Security Applications Conference; 2002; pp. 199-208.
		TOMIMORI et al.; "An Efficient and Flexible Access Control Framework for Java Programs in Mobile Terminals"; 22nd International Conference on Distributed Computing Systems Workshops; 2002; pp. 777-782
		SUN, et al.; "A Robust and Secure Media Signature Scheme for JPEG Images" IEEE 2002 pgs 296-299
		NOORE, A.; "A Secure Conditional Access System using Digital Signature and Encryption" IEEE, 2003, pgs 220-221
		CLARKE, P.; "From small beginnings" Knowledge Management November 2001, 3 pages

Examiner Signature		Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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